Form ISR-4

(see circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests)

**Request for issue of Duplicate Certificate and other Service Requests**

(for Securities - Shares / Debentures / Bonds, etc., held in physical form)

**Date:** / /

# Mandatory Documents / details required for processing all service request:

**I / We are submitting the following documents / details and undertake to request the Depository Participant to dematerialize my / our securities within 120 days from the date of issuance of Letter of Confirmation, received from the RTA/Issuer Company** (tick as relevant, refer to the instructions):

* + Demat Account No. (If available):

Provide Client Master List (**CML**) of your Demat Account from the Depository Participant\*

* + Provide the following details, if they are not already available with the RTA (see [SEBI](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) [circular dated November 03, 2021](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) in this regard)

|  |  |
| --- | --- |
| PAN | Specimen Signature |
| Nomination / Declaration to Opt-out |  |

\* (Your address, e-mail address, mobile number and bank details shall be updated in your folio from the information available in your **CML**). You can authorize the RTA to update the above details for all your folios. In this regard, please refer to and use [Form ISR-1](https://www.sebi.gov.in/sebi_data/commondocs/dec-2021/pdf%20Form%20ISR-1%20(1)_p.pdf) in [SEBI](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) [circular dated November 03, 2021](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html).

1. I / We request you for the following (tick  relevant box)

|  |  |
| --- | --- |
| □Issue of Duplicate certificate | Claim from Unclaimed Suspense Account |
| □ Replacement / Renewal / Exchange of securities certificate | □ Endorsement |
| □ Sub-division / Splitting of securities certificate | □ Consolidation of Folios |
| □Consolidation of Securities certificate | □ Transmission |
| □ Transposition *(Mention the new order of holders here)* | |

# I / We are enclosing certificate(s) as detailed below\*\*:

Name of the Issuer Company

|  |  |
| --- | --- |
| Folio Number |  |
| Name(s) of the security holder(s) as per the  certificate(s) | 1.  2.  3. |
| Certificate numbers |  |
| Distinctive numbers |  |
| Number & Face value of  securities |  |

\*\* Wherever applicable / whichever details are available

# Document / details required for specific service request:

* + Duplicate securities certificate
  + Claim from Unclaimed Suspense Account

|  |  |
| --- | --- |
| Securities claimed | (in numbers) (in words) |

* + Replacement / Renewal / Exchange of securities certificate

(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)

* + Endorsement
  + Sub-division / Splitting of securities certificate
  + Consolidation of securities certificate/Folios
  + Transmission
  + Transposition

*Provide / attach original securities certificate(s) for request for item numbers III to VIII above.*

**Declaration**: All the above facts stated are true and correct to best of my / our knowledge and belief.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Security Holder 1 / Claimant** | **Security Holder 2** | **Security Holder 3** |
| Signature |  |  |  |
| Name |  |  |  |
| Full address |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| PIN |   □ |  |  |

After processing the service request, the RTA shall issue a ‘Letter of Confirmation’ to the securities holder/claimant, which is valid only for 120 days. Using this ‘Letter of Confirmation’, the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company.